**0501 – Financial Administration and Program**

This occupational series guide is for informational/developmental purposes only. Please note:

* This resource does not supersede any existing HHS policy;
* The information provided should not be used to evaluate individual job performance; and
* The attainment of the specified knowledge, skills, experiences and training does not automatically qualify you for promotion.

The guide is intended to educate employees on career opportunities available within the Agency. It provides a means through which you can explore your professional options and identify a career path that best matches your specific needs and interests.

The Enterprise Workforce Development and Performance ([EWDP](http://www.ewdp.hhs.gov/)) website @ <http://www.ewdp.hhs.gov/> also provides guidance on the knowledge, skills, and work experience that will prepare you for progression within your chosen career path.

## INTRODUCTION

The Financial Administration and Program series covers positions that perform, supervise, or manage administrative work of a fiscal, financial management, accounting, or budgetary nature that is not classifiable to another more specific professional or administrative series in the Accounting and Budget Group, 0500.

According to OPM guidance, there are no titles specified for this occupation. Agencies may construct titles that appropriately describe the work.

## POSITION DESCRIPTIONS

**The Financial Management Analyst performs a range of duties according to grade level:**

### GS-0501-09, Financial Management Analyst:

* The employee in this position performs a variety of advanced developmental assignments designed to provide experience and knowledge to perform financial management analysis work. Analyzes and interprets functions associated with the management and control of resources or funds. Reviews the tracking and control of funds of the serviced organization.
* Applies standard financial practices, methods, and techniques to complete standard reconciliations and prepare various financial reports. Researches regulatory material to locate proper procedures for various financial transactions. Analyzes facts, identifies problems, reports findings, makes conclusions, and recommends corrective or other proper action in carrying out routine analytical assignments.
* Relates needs and accomplishments of the organization to anticipated and/or actual dollar figures in the budget. Checks the accuracy, validity, and technical treatment of fiscal data in forms, schedules, and reports, or the legality and propriety of using funds for specific purposes.
* Assists higher level employees in performing more complicated assignments where, for example, data may not be readily available or analysis requires greater knowledge of financial issues and analytical techniques.
* The incumbent applies analytical techniques to a variety of routine and recurring duties using knowledge and understanding of budget analysis, financial management, and NIH programs. The incumbent’s responsibilities include the following: Analyzes, forecasts, and interprets functions associated with the management and control of resources or funds, tracking and control of funds for the organization’s programs and activities. Prepares data summaries for inclusion in routine and special reports on budget formulation and execution; for example, briefing material for Congressional hearings, trans-NIH issue summary reports, or contract plan proposals.
* Furnishes technical interpretation and/or guidance to the financial managers regarding finance system requirements. Assists in the performance of regular and one time reviews of financial status. Monitors financial operations compliance with established internal controls to identify problem areas, determine actions required to improve operating program effectiveness, and ensure and maintain the integrity of financial information.
* Researches regulatory material to locate proper procedures for various financial transactions. Analyzes facts, identifies problems, reports findings, makes conclusions, and recommends corrective or other proper action in carrying out routine analytical assignments.
* Relates needs and accomplishments of the organization to anticipated and/or actual dollar figures in the budget. Checks the accuracy, validity, and technical treatment of fiscal data in forms, schedules, and reports, or the legality and propriety of using funds for specific purposes.

### GS-0501-11-12, Financial Management Analyst:

* Performs a variety of analytical, technical, and administrative work for substantive programs and support activities which are funded through a number of sources such as appropriations, allotments, reimbursable accounts, and transfers of funds between organizations. Programs and funding are unstable and subject to change throughout the fiscal year.
* Identifies and analyzes changes in budgetary and/or financial policies, regulations, constraints, objectives, and available funds that affect the accomplishment of organizational objectives. Analyzes budget and/or financial program data to develop annual and multi-year budget estimates for assigned programs and activities.
* Assists the supervisor and more senior analysts by researching, reviewing, and interpreting financial policies and instructions in light of special problems or program relationships. Makes recommendations regarding the extent and kind of program adjustments required by such factors as ceiling allowances and proper actions, new legislative or executive orders, delegation and assignment of additional functions, change in executive policy and significant program developments. Answers inquiries from organization staff such as the potential impact of policy and/or programmatic adjustments on cost and budget issues.
* Researches and compiles information for a variety of regular and special reports. Provides special budgetary materials as requested by more senior analysts and senior staff.
* Drafts narrative materials based upon knowledge of program developments and objectives or by reviewing and editing narrative justifications prepared by program officials. Reviews budget justification data submitted and developed in support of budget estimates by comparison with historical documents, trend data, and program knowledge for accuracy and adequacy. Discusses desired changes in budget requirements (additions or deletions) with program managers and administrative staff.
* Assists in developing tabular or “figures” portions of financial documents, exhibits, and other supporting documentation for planning, presentation and other use. Serves as a financial management analyst, and advises on matters of budget and financial issues that affect programs within the assigned program area. Analyzes continual changes in program plans, objectives and funding and their effect on financial and budget milestones. Advises agency staff on actions and ramifications of policy and programmatic adjustments on research cost and budget issues.
* Develops recommendations about the program adjustments required by ceiling allowances and functions, changes in executive policy and significant program developments that may warrant a request for more funding. Conducts financial analyses for programs within the organization.
* Researches, compiles, and analyzes information for a wide variety of reports requested by the NIH, DHHS, OMB, Congress, and others. Many of these reports require in-depth analysis and frequently must be done in a short time. Prepares special budgetary materials as asked by the Director or other senior IC staff.
* Reviews and edits narrative justifications prepared by program officials. Develops comprehensive tabular or “figure” portions of budget documents, exhibits, and other supporting documentation for the research plan, the preliminary budget to NIH, and DHHS, budget justification to OMB, the President’s Budget, the Congressional justification, hearings, testimony on the budget, etc. Reviews budget justification data in support of budget estimates for accuracy and adequacy. Recommends changes in budget requirements with program managers and administrative staff.
* Assists efforts to improve or develop financial management systems and related policies, goals and objectives for an organization’s programs. Assesses systems and procedures used to generate financial reports for their quality and usefulness.

### GS-0501-13, Financial Management Analyst:

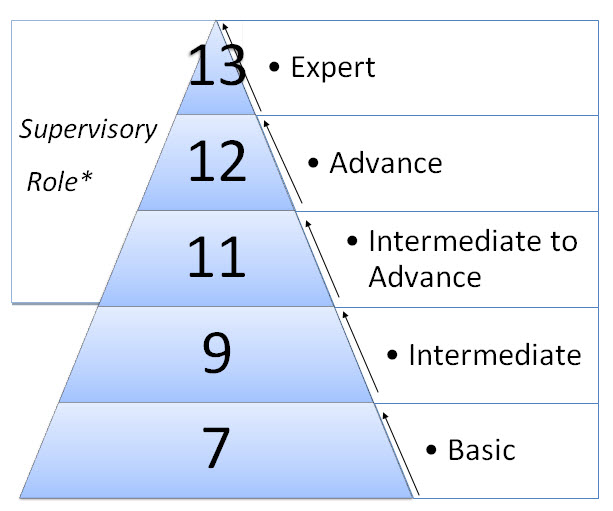
* Serves as an expert financial management analyst, advising on matters of budget and financial issues affecting national programs within the assigned area. Examines the potential effects of budgetary actions on program viability and attainment of program objectives. Clarifies financial policies and instructions in light of special problems or program relationships. Develops, recommends, and implements budgetary/financial policies based on analyses. Recommends program adjustments required by ceiling allowances and functions, changes in executive policy and significant program developments which might warrant a request for more funding. Provides advice to Institute staff on actions and ramifications of policy and programmatic adjustments on costs and budget issues.
* Conducts financial analyses for programs within the organization. Examines costs and estimates, and develops other cost methods for independent cost estimates. Analyzes differences, resolves conflicts, and selects the best estimates to form the basis for the program’s financial position in subsequent Congressional programming and budgeting decisions. Investigates new cost methods and approaches, develops complex financial models, proposes new cost strategies, and develops cost estimating policies using a wide range of analytical and statistical techniques.
* Researches, compiles, and analyzes information for a wide variety of reports requested by the NIH, DHHS, OMB, Congress, and others. Such reports require in-depth analysis and frequently must be prepared and represented in a very short time. Prepares special budgetary materials as requested by the Director or other senior IC staff. Interprets and assesses the impact of new and revised Congressional legislation on the formulation and execution of the organization’s budget.
* Develops narrative materials based upon close knowledge of program developments and objectives about extramural budgetary considerations, or by reviewing and editing narrative justifications prepared by program officials. Develops comprehensive tabular or “figure” portions of budget documents, exhibits, and other supporting documentation for the research plan, the preliminary budget to NIH, and DHHS, budget justification to OMB, the President’s Budget the Congressional justification, hearings, testimony on the budget, etc. Reviews budget justification data in support of budget estimates for accuracy and adequacy. Negotiates changes in budget requirements with program managers and administrative staff.
* Conducts budget analysis to identify trends and patterns suggesting possible categorical growth and amount of program support in relation to increased requirements. These analyses are used to assist in the preparation of estimates and projections of costs.
* Assists efforts to improve or develop financial management systems and related policies, goals and objectives for programs. Assesses systems and procedures used to generate financial reports for the quality, and usefulness of data. Devises systems, methods, and procedures to meet budget and fiscal problems and directs their experimental installation, evaluation, and modification
* Analyzes budgetary and fiscal areas of concern and recommends procedures and methods for change. Many of these require continuing or long-range analysis, or resolving difficult forecasting problems. Recognizes problems for which collected data does not exist and prepares such information, if it would aid in the preparation of budget estimates and support program officials or fiscal operations.

## POTENTIAL CAREER MAP

*The following pyramid graphic shows a bird’s eye view of how an individuals’ career path potentially progresses upward in grade and proficiency levels through stages in the Financial Administration and Program Series, GS-0501. The GS Grade Levels are 7, 9, 11, 12; 13. The Proficiency Levels are Intermediate, Intermediate to Advance, Advance; Expert.*

*\*A supervisory role may start at a GS-12 or 13 grades. To determine if you are in a management or supervisor role review the position description.*

*GS Grade/Proficiency Levels Key: 7=Entry, 9 = Intermediate, 11= Intermediate to Advance, 12 = Advance; 13=Expert.*

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**Figure 1: Career Map for Financial Administration and Program**

## SUCCESS FACTORS

The success factors below provide guidance on how individuals can maximize performance and career success as they progress through a career in Financial Administration and Programs. Subject matter experts in that field provided these success factors. Many of the success factors shown in this Guide do not tie to any particular specialty area or grade level. Also, these statements do not tie to any specific competency or developmental experience. After reading through the success factors, you should seek clarification from your supervisor on how to develop experience or apply some of the success factors.

Note: You may develop knowledge and skill in many ways. The content below provides guidance as to the types of on-the-job experiences you may wish to pursue as well as training opportunities that may be beneficial.

* Gain broad experience in project management by managing multiple projects.
* Have the ability to effectively speak to technical and business audiences.
* Develop proficiency in contract/subcontracting management, particularly managing different types of contracts, such as Cost, Firm Fixed Price, Time and Materials, Research and Development, Hybrid, Interagency, Operations and Sustainment, Software Development, Network Services, COTS Integration, Systems Acquisition, etc.
* Develop outstanding oral and written communication skills.
* Learn how to manage in multi-stakeholder environment.
* Develop a strong understanding of the strategic roles of stakeholders.
* Gain an understanding of the political environment.
* Develop effective talent management skill – be able to orchestrate a cross-functional team.
* Gain as much real-world experience as possible working with multiple and different types of projects and programs, as well working with a variety of stakeholders (e.g., by participating in rotational assignments inside or outside of the agency).
* Develop the ability to build consensus.
* Gather and manage the developing requirements of customers, setting expectations as needed.

## PROFICIENCY LEVEL DISTINCTIONS FOR BASELINE COMPETENCIES

| **Proficiency Level** | **Baseline Competencies** |
| --- | --- |
| 5 = Expert | * Applies the competency in exceptionally difficult situations. * Serves as a key resource and advises others |
| 4 = Advanced | * Applies the competency in considerably difficult situations. * Generally requires little or no guidance |
| 3 = Intermediate | * Applies the competency in difficult situations. * Requires occasional guidance. |
| 2 = Basic | * Applies the competency in somewhat difficult situations. * Requires frequent guidance. |
| 1 = Awareness | * Applies the competency in the simplest situations. * Requires close and extensive guidance. |

Table : Proficiency Level Distinctions for Baseline Competencies

## BASELINE COMPETENCIES BY GRADE LEVEL

| **BASELINE COMPETENCIES** | **GS-7** | **GS-9** | **GS-11** | **GS-12** | **GS-13** |
| --- | --- | --- | --- | --- | --- |
| Attention to Detail | 2 | 2-3 | 3 | 3-4 | 5 |
| Procurement | 2 | 2-3 | 3 | 3-4 | 5 |
| Creative Thinking | 2 | 2-3 | 3 | 3-4 | 5 |
| Customer Service | 2 | 2-3 | 3 | 3-4 | 5 |
| Decision Making | 2 | 2-3 | 3 | 3-4 | 5 |
| Negotiating | 2 | 2-3 | 3 | 3-4 | 5 |
| Information Management | 2 | 2-3 | 3 | 3-4 | 5 |
| Honesty | 5 | 5 | 5 | 5 | 5 |
| Interpersonal Skills | 2 | 2-3 | 3 | 3-4 | 5 |
| Communication | 2 | 2-3 | 3 | 3-4 | 5 |
| Planning and Evaluating | 2 | 2-3 | 3 | 3-4 | 5 |
| Problem Solving | 2 | 2-3 | 3 | 3-4 | 5 |
| Qualitative/Quantitative Analysis | 2 | 2-3 | 3 | 3-4 | 5 |
| Collaboration and Partnering | 2 | 2-3 | 3 | 3-4 | 5 |
| Mentoring | 2 | 2-3 | 3 | 3-4 | 5 |

Table : Baseline Competency Information

**1. Attention to Detail** – Details are the smaller items or parts of a task or project. The level of detail indicates how accurately and precisely a task or project is to be completed.

| **Professional Levels** | **Key Behaviors** |
| --- | --- |
| All Levels | * Complete tasks and/or projects with accuracy and attention to detail. * Efficiently identify and isolate important details from less critical points. * Effectively communicate meaningful information about details to business units and/or managers. * Support actions taken with data and other objective material. * Break down tasks and actions into the smallest units required * Identify all of the tasks to be completed to accomplish an activity, and the relationships that exist among them. * Verify that all tasks have been done. |
| 1=Awareness | Occasionally demonstrates attention to detail, but may avoid or miss opportunities |
| 2=Basic | Sometimes demonstrates a detail oriented personality, effectively capturing crucial elements to complete projects |
| 3=Intermediate | Normally maintains a respectable level of detail in work |
| 4=Advanced | Habitually maintains a high level of detail in all work performed |
| 5=Expert | Models, leads, trains, and motivates multiple levels of personnel to have a high level of detail. |

Table : Attention to Detail

**Proficiency Levels by Grade**

| Grade Level | GS-7 | GS-9 | GS-11 | GS-12 | GS-13 |
| --- | --- | --- | --- | --- | --- |
| Proficiency Scale | 2 | 2-3 | 3 | 3-4 | 5 |

Table : Proficiency Levels by Grade

**2. Procurement** – Procurement includes the planning, solicitation, contract administration, and contract closeout of a project.

| **Professional Levels** | **Key Behaviors** |
| --- | --- |
| All Levels | * Identify factors that influence procurement planning. * Determine design and performance specifications for a project. * Draw up a procurement management plan. * Complete the steps involved in the solicitation process. * Complete contract administration responsibilities * Develop a system for handling contractual changes. * Determine when a contract should be terminated * Complete contract close-out responsibilities |
| 1=Awareness | Occasionally demonstrates procurement knowledge, but may avoid or miss opportunities |
| 2=Basic | Sometimes demonstrates a good understanding of procurement principles |
| 3=Intermediate | Normally maintains a sound knowledge of procurement principles |
| 4=Advanced | Habitually maintains a high level of procurement expertise |
| 5=Expert | Models, leads, trains, and motivates multiple levels of personnel to have a high level of procurement know-how |

Table 5: Procurement

**Proficiency Levels by Grade**

| Grade Level | GS-7 | GS-9 | GS-11 | GS-12 | GS-13 |
| --- | --- | --- | --- | --- | --- |
| Proficiency Scale | 2 | 2-3 | 3 | 3-4 | 5 |

Table 6: Proficiency Levels by Grade

**3. Creative Thinking** – Uses imagination to develop new insights into situations and applies different and novel solutions to make improvements.

| **Professional Levels** | **Key Behaviors** |
| --- | --- |
| All Levels | * Creates a work environment that encourages creative thinking and innovation. * Seeks opportunities for business growth and change. * Explores new ideas, methodologies, different positions, and alternatives to reach outcomes. * Introduces new concepts or strategies that significantly improve or revise the way business is done. * Assesses, manages and takes calculated risks to achieve goals. * Suggests or proposes alternative ways to view or define problems; is not constrained by conventional thinking and established approaches. * Combines ideas in unique ways or makes connections between disparate ideas; explores different lines of thought; views situations from multiple perspectives; brainstorms multiple |
| 1=Awareness | Occasionally demonstrates creative thinking, but may avoid or miss opportunities |
| 2=Basic | Sometimes demonstrates new insights into situations |
| 3=Intermediate | Normally maintains a creative outlook |
| 4=Advanced | Habitually maintains a high level of creativity in all aspects of work |
| 5=Expert | Models, leads, trains, and motivates multiple levels of personnel to have a high level of creative thinking |

Table 7: Creative Thinking

**Proficiency Levels by Grade**

| Grade Level | GS-7 | GS-9 | GS-11 | GS-12 | GS-13 |
| --- | --- | --- | --- | --- | --- |
| Proficiency Scale | 2 | 2-3 | 3 | 3-4 | 5 |

Table 8: Proficiency Levels by Grade

**4. Customer Service** – Works with clients and customers (that is, any individuals who use or receive the services or products that your work unit produces, including the general public, individuals who work in the agency, other agencies, or organizations outside the Government) to assess their needs.

| **Professional Levels** | **Key Behaviors** |
| --- | --- |
| All Levels | * Provide information or assistance * Resolve their problems * Satisfy expectations * Knows about available products and services * Committed to providing quality products and services |
| 1=Awareness | Occasionally is attentive to the needs of the customers and colleagues but may avoid or miss opportunities to perform the necessary work when applicable |
| 2=Basic | Sometimes uses customer service skills to perform work |
| 3=Intermediate | Normally ensures that customer service is solid and the skills are employed to properly perform job duties |
| 4=Advanced | Even in the most difficult situations, ensures that customer service is employed |
| 5=Expert | Models, leads, trains, and motivates multiple levels of personnel to be excellent in providing customer service |

Table 9: Customer Service

**Proficiency Levels by Grade**

| Grade Level | GS-7 | GS-9 | GS-11 | GS-12 | GS-13 |
| --- | --- | --- | --- | --- | --- |
| Proficiency Scale | 2 | 2-3 | 3 | 3-4 | 5 |

Table 10: Proficiency Levels by Grade

**5. Decision Making** – Makes sound decisions in a timely manner.

| **Professional Levels** | **Key Behaviors** |
| --- | --- |
| All Levels | * Bases decisions on an analysis of short-range consequences or simple options, including people’s reactions and potential problems * Makes decisions in a timely manner when the options are clear and there is little pressure or risk * Solicits the input of the proper people to improve the quality and timing of a decision * Gathers sufficient information to identify gaps and variances before making a decision * Focuses on objectives and results when considering the various alternatives to a decision * Foresees the long-range consequences or implications of different options * Takes charge of a group when it is necessary to facilitate either an action or a decision * Makes decisions at the right time when there is ambiguity or considerable personal or organizational risk |
| 1=Awareness | Occasionally makes decisions, but may avoid or miss opportunities to make sound decisions in a timely manner. |
| 2=Basic | Sometimes bases decisions on an analysis of short-range consequences, makes decisions in a timely manner when the options are clear and there is little risk, solicits the input of others to improve the quality and timing of a decision, and gathers information to identify gaps before making a decision. |
| 3=Intermediate | Normally focuses on objectives and results when considering the alternatives to a decision, foresees the long-range consequences or implications of different options, takes charge of a group when it is necessary to facilitate a decision, and makes decisions at the right time when there is ambiguity or considerable risk. |
| 4=Advanced | Even in the most difficult or complex situations, focuses on results when considering the alternatives to a decision, foresees the long-range consequences or implications of different options, takes charge of a group when it is necessary to facilitate a decision, and makes decisions at the right time when there is ambiguity or considerable risk. |
| 5=Expert | Models, leads, trains, and motivates multiple levels of personnel to be excellent in decision making. |

Table 11: Decision Making

**Proficiency Levels by Grade**

| Grade Level | GS-7 | GS-9 | GS-11 | GS-12 | GS-13 |
| --- | --- | --- | --- | --- | --- |
| Proficiency Scale | 2 | 2-3 | 3 | 3-4 | 5 |

Table 12: Proficiency Levels by Grade

**6. Negotiating**– ability to exercise diplomacy within workplace; ability to effectively persuade and convince others of key perspectives vital to organizational success.

| **Professional Levels** | **Key Behaviors** |
| --- | --- |
| All Levels | * Strong diplomacy skills * Strong persuasion skills |
| 1=Awareness | Occasionally is attentive to negotiating and influencing, but may avoid or miss opportunities to negotiate/influence or take responsibility to understand others. |
| 2=Basic | Sometimes uses appropriate negotiating and influencing skills to achieve success. |
| 3=Intermediate | Normally ensures that regular negotiating and influencing occurs based on the needs of the project or individual, listens well, exercises diplomacy |
| 4=Advanced | Even in the most difficult situations, ensures that regular negotiating and influencing occurs based on the needs of the project or individual |
| 5=Expert | Models, leads, trains, and motivates multiple levels of personnel to be excellent in negotiating and influencing |

Table 13: Negotiating

**Proficiency Levels by Grade**

| Grade Level | GS-7 | GS-9 | GS-11 | GS-12 | GS-13 |
| --- | --- | --- | --- | --- | --- |
| Proficiency Scale | 2 | 2-3 | 3 | 3-4 | 5 |

Table 14: Proficiency Levels by Grade

**7. Information Management** – Identifies a need for and knows where or how to gather information; organizes and maintains information or information management systems

| **Professional Levels** | **Key Behaviors** |
| --- | --- |
| All Levels | * Organizes information * Gathers information * Manages data |
| 1=Awareness | Occasionally is attentive to information management, but may avoid or miss opportunities to deliver effective information analysis |
| 2=Basic | Sometimes uses proper information management techniques. |
| 3=Intermediate | Normally ensures that regular information management occurs based on the needs of the project or individual |
| 4=Advanced | Even in the most difficult situations, ensures that information is gathered, organized, analyzed |
| 5=Expert | Models, leads, trains, and motivates multiple levels of personnel to be excellent in information management |

Table 15: Information Management

**Proficiency Levels by Grade**

| Grade Level | GS-7 | GS-9 | GS-11 | GS-12 | GS-13 |
| --- | --- | --- | --- | --- | --- |
| Proficiency Scale | 2 | 2-3 | 3 | 3-4 | 5 |

Table 16: Proficiency Levels by Grade

**8. Honesty** – Infused with principles and ethics that are valued by the organization.

| **Professional Levels** | **Key Behaviors** |
| --- | --- |
| All Levels | * Contributes to maintaining the integrity of the organization; * displays high standards of ethical conduct and understands the impact of violating these standards on an organization, self, and others; * Is trustworthy. |
| 1=Awareness | Occasionally is in tune with ethics indicative of high integrity and honesty, but may avoid or miss opportunities |
| 2=Basic | Sometimes employs integrity/honesty to further the organization’s goals |
| 3=Intermediate | Normally ensures that all actions are imbued with integrity and honesty; results occurs based on the needs of the project or individual |
| 4=Advanced | Even in the most difficult situations, ensures that actions are imbued with integrity and ethics |
| 5=Expert | Models, leads, trains, and motivates multiple levels of personnel to be excellent in honesty |

Table 17: Honesty

**Proficiency Levels by Grade**

| Grade Level | GS-7 | GS-9 | GS-11 | GS-12 | GS-13 |
| --- | --- | --- | --- | --- | --- |
| Proficiency Scale | 5 | 5 | 5 | 5 | 5 |

Table 18: Proficiency Levels by Grade

**9. Interpersonal Skills** – Infused with strong diplomacy, understanding, friendliness.

| **Professional Levels** | **Key Behaviors** |
| --- | --- |
| All Levels | * Shows understanding, friendliness, courtesy, tact, empathy, concern, and politeness to others; * develops and maintains effective relationships with others; * may include effectively dealing with individuals who are difficult, hostile, or distressed; * relates well to people from varied backgrounds and different situations; * is sensitive to cultural diversity, race, gender, disabilities, and other individual differences. |
| 1=Awareness | Occasionally is in tune with interpersonal skills indicative of high friendliness and tact, but may avoid or miss opportunities |
| 2=Basic | Sometimes employs interpersonal skills to further the organization’s goals |
| 3=Intermediate | Normally ensures that all actions are imbued with understanding, friendliness, tact, empathy, concern |
| 4=Advanced | Even in the most difficult situations, ensures that interpersonal skills are fully applied |
| 5=Expert | Models, leads, trains, and motivates multiple levels of personnel to be excellent in interpersonal skills |

Table 19: Interpersonal Skills

**Proficiency Levels by Grade**

| Grade Level | GS-7 | GS-9 | GS-11 | GS-12 | GS-13 |
| --- | --- | --- | --- | --- | --- |
| Proficiency Scale | 2 | 2-3 | 3 | 3-4 | 5 |

Table 20: Proficiency Levels by Grade

**10. Communication** – Delivers clear, effective communication and takes responsibility for understanding others.

| **Professional Levels** | **Key Behaviors** |
| --- | --- |
| All Levels | * Organizes and expresses ideas clearly orally and in writing * Keeps manager and others informed of the status of projects and activities * Ensures that regular communication occurs based on the needs of the project or the individual * Clarifies the meaning and intent of others’ communication when it is unclear |
| 1=Awareness | Occasionally is attentive to communication, but may avoid or miss opportunities to deliver effective communication or take responsibility to understand others. |
| 2=Basic | Sometimes uses proper grammar and choice of words, organizes and expresses ideas clearly, and keeps others informed of the status of projects. |
| 3=Intermediate | Normally ensures that regular communication occurs based on the needs of the project or individual, listens well, clarifies the intent of others’ communication, tailors communication to the level of the audience, and utilizes creative methods such as analogies and visuals to communicate complex ideas. |
| 4=Advanced | Even in the most difficult situations, ensures that regular communication occurs based on the needs of the project or individual, listens well, clarifies the intent of others’ communication, tailors communication to the level of the audience, and identifies creative methods such as analogies and visuals to communicate complex ideas |
| 5=Expert | Models, leads, trains, and motivates multiple levels of personnel to be excellent in attention to communication |

Table 21: Communication

**Proficiency Levels by Grade**

| Grade Level | GS-7 | GS-9 | GS-11 | GS-12 | GS-13 |
| --- | --- | --- | --- | --- | --- |
| Proficiency Scale | 2 | 2-3 | 3 | 3-4 | 5 |

Table 22: Proficiency Levels by Grade

**11. Planning and Evaluating** – Organizes work, sets priorities, and determines resource requirements.

| **Professional Levels** | **Key Behaviors** |
| --- | --- |
| All Levels | * Determines short- or long-term goals and strategies to achieve them; * Coordinates with other organizations or parts of the organization to accomplish goals; * Monitors progress and evaluates outcomes. |
| 1=Awareness | Occasionally is attentive to planning and evaluating but may avoid or miss opportunities to perform the necessary work when applicable |
| 2=Basic | Sometimes uses planning and evaluating skills to perform work |
| 3=Intermediate | Normally ensures that planning and evaluating is solid and the skills are employed to properly perform job duties |
| 4=Advanced | Even in the most difficult situations, ensures that planning and evaluating techniques are fully utilized |
| 5=Expert | Models, leads, trains, and motivates multiple levels of personnel to be excellent in planning and evaluating |

Table 23: Planning and Evaluation

**Proficiency Levels by Grade**

| Grade Level | GS-7 | GS-9 | GS-11 | GS-12 | GS-13 |
| --- | --- | --- | --- | --- | --- |
| Proficiency Scale | 2 | 2-3 | 3 | 3-4 | 5 |

Table 2: Proficiency Levels by Grade

**12. Problem Solving** – Accurately assesses problems and effectively and efficiently arrives at excellent solutions.

| **Professional Levels** | **Key Behaviors** |
| --- | --- |
| All Levels | * Asks meaningful and relevant questions to understand problems and potential causes * Notices discrepancies and inconsistencies in information related to problems * Identifies and evaluates many possible causes for a problem * Proactively identifies the root causes of problems * Uses logical, systematic approaches to break down and solve problems * Creatively comes at problems in new and different ways that lead to innovative solutions * Analyzes costs, benefits, risks, and chances for success of potential solutions * Breaks down complex problems into their fundamental parts |
| 1=Awareness | Occasionally solves problems effectively and efficiently, but often fails to do so because key steps in the problem solving process are not done well |
| 2=Basic | Sometimes breaks down problems into their fundamental parts, identifies their root causes, analyzes costs, benefits, risks, and chances for success of potential solutions, and creatively attacks problems in ways that lead to innovative solutions. |
| 3=Intermediate | Often breaks down problems into their fundamental parts, identifies their root causes, analyzes costs, benefits, risks, and chances for success of potential solutions, and creatively attacks problems in ways that lead to innovative solutions. |
| 4=Advanced | Even in the most complex situations, breaks down problems into their fundamental parts, identifies their root causes, analyzes costs, benefits, risks, and chances for success of potential solutions, and creatively attacks problems in ways that lead to innovative solutions. |
| 5=Expert | Models, leads, trains, and motivates multiple levels of personnel to be excellent at problem solving. |

Table 25: Problem Solving

**Proficiency Levels by Grade**

| Grade Level | GS-7 | GS-9 | GS-11 | GS-12 | GS-13 |
| --- | --- | --- | --- | --- | --- |
| Proficiency Scale | 2 | 2-3 | 3 | 3-4 | 5 |

Table 26: Proficiency Levels by Grade

**13. Quantitative/Qualitative Analysis** – Analyzes financial data effectively to manage and achieve results.

| **Professional Levels** | **Key Behaviors** |
| --- | --- |
| All Levels | * Analyzes charts, graphs, and other data in order to make comparisons and draw conclusions * Sets up budgets based on the historical data of an individual or department’s past performance * Uses established financial models for analyzing quantitative data * Uses quantitative data to make daily decisions and monitor business performance * Uses marketplace and industry resources to track the performance of competitors and industry trends * Identifies key performance issues and establishes cause and effect relationships to solve complex financial problems for the business * Makes necessary decisions with incomplete, conflicting, or ambiguous quantitative data * Understands the implications of quantitative data on overall business performance and makes recommendations |
| 1=Awareness | Occasionally exhibits skill in quantitative analysis, but may avoid or miss opportunities to analyze financial data effectively to manage and achieve results |
| 2=Basic | Sometimes analyzes data in order to make comparisons and draw conclusions, uses established financial models for quantitative analysis, sets up budgets based on an individual or department’s past performance, and uses quantitative data to make decisions and monitor business performance. |
| 3=Intermediate | Normally uses marketplace and industry resources to track the performance of competitors and industry trends, makes necessary decisions with poor data, identifies key performance issues and establishes cause and effect relationships to solve complex financial problems, and understands the implications of quantitative data on overall business performance. |
| 4=Advanced | Even in the most difficult and complex situations, uses marketplace and industry resources to track the performance of competitors and industry trends, makes necessary decisions with poor data, identifies key performance issues and establishes cause and effect relationships to solve complex financial problems, and understands the implications of quantitative data on overall business performance. |
| 5=Expert | Models, leads, trains, and motivates multiple levels of personnel to be excellent in quantitative analysis. |

Table 27: Quantitative/Qualitative Analysis

**Proficiency Levels by Grade**

| Grade Level | GS-7 | GS-9 | GS-11 | GS-12 | GS-13 |
| --- | --- | --- | --- | --- | --- |
| Proficiency Scale | 2 | 2-3 | 3 | 3-4 | 5 |

Table 28: Proficiency Levels by Grade

**14. Collaboration and Partnering** – Is open to working with others, forming strategic alliances/partnerships, and learning from their experience.

| **Professional Levels** | **Key Behaviors** |
| --- | --- |
| All Levels | * Develops networks and builds alliances Supports new ideas, systems, and procedures * Collaborates across boundaries to build strategic relationships and achieve common goals. |
| 1=Awareness | Occasionally is open to partnerships; may avoid or miss opportunities to form new partnerships or alliances |
| 2=Basic | Sometimes is open to partnering, takes steps to understand reasons for partnerships |
| 3=Intermediate | Normally operates well with newly formed alliances and partnerships |
| 4=Advanced | Normally ensures that regular partnering occurs based on the needs of the project or individual, listens well |
| 5=Expert | Models, leads, trains, and motivates multiple levels of personnel to be excellent in partnering and working with others |

Table 29: Collaboration and Partnering

**Proficiency Levels by Grade**

| Grade Level | GS-7 | GS-9 | GS-11 | GS-12 | GS-13 |
| --- | --- | --- | --- | --- | --- |
| Proficiency Scale | 2 | 2-3 | 3 | 3-4 | 5 |

Table 30: Proficiency Levels by Grade

**15. Mentoring** – Mentoring includes participating in discussions with colleagues and peers in areas of expertise to aid in professional development.

| **Professional Levels** | **Key Behaviors** |
| --- | --- |
| All Levels | * Take the initiative to identify those who need mentoring. * Participate in formal meetings with colleagues, peers, and subordinates. * Mentor others on professional development. |
| 1=Awareness | Occasionally is attentive to mentoring for the good of the organization but may avoid or miss key details |
| 2=Basic | Sometimes uses mentoring to effectively accomplish organizational goals and assist colleagues |
| 3=Intermediate | Normally ensures that mentoring is utilized to achieve the desired results of the organization |
| 4=Advanced | Even in the most difficult situations, ensures that mentoring is effectively employed |
| 5=Expert | Models, leads, trains, and motivates multiple levels of personnel to be highly proficient in mentoring and helping others |

Table 31: Mentoring

**Proficiency Levels by Grade**

| Grade Level | GS-7 | GS-9 | GS-11 | GS-12 | GS-13 |
| --- | --- | --- | --- | --- | --- |
| Proficiency Scale | 2 | 2-3 | 3 | 3-4 | 5 |

Table 32: Proficiency Levels by Grade

## BASELINE JOB REQUIREMENTS, AND PROFICIENCY DEMONSTRATIONS, BY GRADE LEVEL

### GS-0501-09, Financial Management Analyst

#### Baseline Job Requirements

Positions at this grade level require a basic level knowledge of the following:

* Federal, Departmental, and Agency policies, procedures, and regulations applicable to the solicitation, award, administration and close-out of Federal contracts particularly as they relate to research and development.
* Program objectives to set up a realistic planning schedule and to ensure that the SOW and RFC are complete and accurate.
* Contract administration principles and practices to monitor contractor performance and to solve problems relating to contract modifications, progress and other payments, and similar problems.
* Business and industry practices necessary to analyze the contractor’s ability to perform the contract.
* Specific contractual requirements, terms, conditions, and pricing provisions necessary to evaluate costs, to analyze effects of contractor’s change proposals, and to develop positions for negotiating fair and reasonable settlements.
* Procurement monitoring and management control techniques necessary to monitor the contractor’s financial and business conditions, to detect indicators having an adverse impact on contract performance (e.g., impending bankruptcy or severance of vendor support), and to recommend remedial action.
* Positions at this grade level require the following abilities:
  + Communicating verbally to convey information concerning the acquisition, to respond to inquiries, and to participate in contract negotiations.
  + Communicating in writing to prepare a variety of written materials including correspondence and contract documents.

#### Proficiency Demonstrations

The employee’s work covers the full range of pre-award contracting activities. Formal advertising is primarily used, although some sole source negotiation is required. Adequate competition is generally available, although review of the market is occasionally required to determine the availability of specialized items or services. Contracts used are firm fixed-price or less complex cost-type contracts containing some special provisions. Assignments require development of procurement plans for specialized items or services where previous procurements of the same or similar items are available for review. Changes in the item or market conditions require adaptation of the procurement plan. The employee analyzes procurement requirements, market conditions, the contractor’s responsibility, and problems which arise.

### GS-0501-11, Financial Management Analyst

#### Baseline Job Requirements

Positions at this grade level require a more advanced knowledge of the following:

* Federal, Departmental or agency and local contract laws, contracting principles, laws, statutes, Executive Orders, regulations and procedures applicable to the award and administration of contracts sufficient to procure and/or administer contracts for a variety of specialized equipment, services, and/or construction, or to conduct studies of problem areas and develop standard methods and operating procedures.
* Various types of contracts, methods of contracting, and selection factors to plan proper strategies to procure requirements, and to conduct negotiations in the pre-award and post-award phases of contracting.
* Program objectives, technical terminology, and uses of equipment services, or construction procured sufficient to participate in planning, negotiation, award, and administration.
* Commercial and industry business practices sufficiently to identify sources, analyze cost and pricing data and contract proposals, and to evaluate the bidders for responsibility.

Positions at this grade level require the following abilities

* Communicating verbally to convey information concerning the acquisition, to respond to inquiries, and to participate in contract negotiations.
* Communicating in writing to prepare a variety of written materials including correspondence and contract documents.

#### Proficiency Demonstrations

Assignments cover the full range of pre-award and/or post-award functions associated with a variety of contracts which are formally advertised and negotiated. Some of the contracts include such complexities as: use of various fixed-price and cost contracts; inclusion of special provisions and similar conditions; limited competition because of the urgency or quantity specified; cost analysis required on initial pricing or contract modifications; contractual period of more than a year. Decisions are based on analysis of alternatives, adaptation or modification of procedures or resolution of incomplete or conflicting technical or contractor data. Employee makes decisions or recommendations concerning post-award areas as expediting delivery, issuing change orders, exercising contractual options and processing claims.

### GS-0501-12, Financial Management Analyst

#### Baseline Job Requirements

Positions at this grade level require a more advanced knowledge of the following:

* Federal, departmental or agency, and local contract laws, contracting principles, laws, statues, Executive Orders, regulations and procedures applicable to pre-award and/or post-award actions sufficient to procure and/or administer contracts for a variety of specialized equipment, services, and/or construction, or to conduct studies of problem areas and develop standard methods and operating procedures.
* Program objectives, technical terminology, uses of equipment, services, or construction procured sufficient to participate in planning, negotiation, and administration.
* Price/cost analysis techniques, such as cost estimating techniques, sufficient to evaluate contractor proposals and prepare a pre-negotiation position.
* Various contract types, methods, and techniques including: cost type contracting, award fees, cost sharing arrangements, performance based contracting, processing of unsolicited proposals, multiple awards, and special provisions such as proprietary rights, rights-in-data, Privacy Act, etc.
* Commercial and industrial business practices to identify sources, analyze cost and pricing data and contract proposals, and to evaluate the offers for responsibility.

Positions at this grade level require the following abilities:

* Ability to apply critical thinking and judgment skills to various work assignments to identify and troubleshoot potential problems and to develop remedies and solutions.
* Ability to coordinate and conduct negotiations on assigned programs, persuade audiences and to deal effectively with resistance to proposed plans and ideas and give adequate consideration to alternative plans and ideas.

#### Proficiency Demonstrations

The work involves planning, developing and managing contractual actions for complex HHS functional areas. Assigned procurements and financial instruments at this level are characterized by such complexities as: Unique requirements requiring specialized requirements, multiple sources competing for procurement, labor-intensive post award administration, use of cost reimbursement type contracts, overseas recipients, and building relationships with other federal organizations to foster international activities.

### GS-0501-13, Financial Management Analyst

#### Baseline Job Requirements

Positions at this grade level require a more advanced knowledge of the following:

* Mastery of contracting theories, principles, and practices to provide a wide range of contracting services that enhance the agency’s ability to acquire essential systems, supplies and technical services under terms and conditions favorable to the Government.
* Knowledge of contract types, methods, and techniques, including cost and incentive contracting, cost sharing arrangements, special provisions relating to proprietary rights, and rights in data.
* Extensive knowledge of Federal rules, regulations, and policies governing the acquisition process such as the FAR and HHSAR, in order to ensure that the agency complies fully with all pertinent regulatory and policy requirements.
* Knowledge of Departmental, OPDIV, office and supported program’s mission, goals and objectives, functions, public-interest factors, organizational structure and organizational interactions.
* Ability to fully execute all functions required for the planning, solicitation, negotiation, award and administration of complex acquisitions which may involve multi-year requirements and successive stages.
* Knowledge of business practices and relevant market conditions affecting the companies providing the systems, services, and supplies needed by the Agency to accomplish program objectives.
* Skill in planning projects, collecting and analyzing information, drawing logical conclusions, executing plans, and taking corrective actions to remain within provided parameters.
* Skill in technical writing and formats pertaining to procurement instrument writing and correspondence with stakeholders. Skill in verbal communications and presentations in all settings. Skill in interpersonal communications with all audiences, including negotiations with recipients, vendors and program personnel.
* Knowledge of, and ability to use automated acquisition systems.

#### Proficiency Demonstrations

Manages complex acquisition actions which often lack precedent and represent the diversity of the Agency’s programs. The acquisitions include research and evaluation studies, information technology, and technical services. The contracts cover a wide variety of cost and fixed price types that include special clauses and conditions related to the particular work to be carried out. The services provided are highly varied and involve formulating complex procurement plans, working with complex work statements, providing expert guidance to management in defining procurement needs, complying with regulatory requirements, and addressing issues unique to the specific procurement. Overall working knowledge of the agency’s diverse programs is requisite to enable proper interpretation of work statements and to select the proper type of contract.

Oversees the conduct of sophisticated technical evaluation procedures for proposed long-term, multiple year contracts that incorporate incremental funding provisions and/or option provisions. Performs cost analyses of proposals which include unique characteristics and emphasis. Innovative approaches are necessary to contract for unique programmatic needs with few precedents. The work is further complicated by numerous technical and administrative factors including the dynamic nature of agency programs and the need to respond to constantly changing procurement requirements, the lack of reliable precedents, fluctuations in the availability of funds, and frequent changes in the regulatory environment governing acquisitions.

## RECOMMENDED TRAINING FOR QUALITATIVE / QUANTITATIVE ANALYSIS

| **Proficiency Levels** | **Recommended Training** | **Potential Vendor(s)** |
| --- | --- | --- |
| Entry (1) or Intermediate (2) | Basic Mathematics  Practical Statistics  Customer Service  Communication and Listening Skills  Group Processes and Teamwork  Microsoft Office Training  Presentations and Briefings | USDA Grad School  HHS Learning Portal |
| Intermediate (2) or Intermediate to Advanced (3) | Introductory Statistics I  Team Building  Technical Writing  Project Management  Management Theories and Practices (TQM, Six Sigma, Balance Scorecard)  Introduction to MS Project 2003  Cost Benefit Analysis Workshop | HHS Learning Portal  OPDIV Training Center  USDA Grad School |
| Intermediate to Advanced (3) | Evaluation under OMB Program Assessment Rating Tool (PART): An Introduction  Survey Design and Collection  COTR Training  Regulatory Training | HHS Learning Portal  OPDIV Training Center  USDA Grad School |
| Intermediate to Advanced(3) or Advanced (4) | Introductory Statistics II  Decision Support: Building New Analytical Skills  Communicating Analysis Results  Cost-Benefit Analysis  Data Collection and Analysis  Intermediate MS Excel 2003 | Management Concepts  USDA Grad School  OPDIV Universities  HHS Learning Portal |
| Advanced (4) | Advanced Data Analysis Techniques and Strategies  Analytic Techniques – Advanced  Budget Fundamentals  Budget Formulation and Execution  Business Systems | Management Concepts  OPDIV Universities  HHS Learning Portal |

Table 23 Recommended Training for Qualitative / Quantitative Analysis

## DEVELOPMENTAL ACTIVITIES

Training is only one option, other developmental ideas include:

* Reading/Studying
* Developing SOPs
* Specific assignments/On the job training
* Rotations with customers
* Completing/Leading special project(s)
* Membership in professional organizations
* Participating in committees
* Shadowing
* Mentoring (Become a mentor!)
* Volunteering
* Peer coaching
* Cross-Training (Also Intramural vs. Extramural)
* Learning Team

## ADDITIONAL TRAINING OPPORTUNITIES AND RESOURCES:

### Microsoft Office Training

The official training site of the [Microsoft Office suite](http://office.microsoft.com/en-us/support/training-FX101782702.aspx) covers many topics and has separate pages for 2003, 2007 and 2010 versions.

### SkillSoft Training Courses

The Learning Management System ([LMS](https://lms.learning.hhs.gov/Saba/Web/Main)) has thousands of free online training courses on topics such as IT programming and certifications, MS Office Programs, Business, Live learning, Legal information, and Federal programs:

### HHS Mentoring Program

The HHS mentoring program was created to help federal employees develop their knowledge, skills, and abilities. Build a year-long relationship as either a mentor or a mentee, and participate in HHS program events, activities, and resources to facilitate personal and professional growth.

## FREE CLASSES AND LECTURES

### Excel is Fun

YouTube has over 1600 instructional videos about [Microsoft Excel](http://www.youtube.com/user/ExcelIsFun). There are playlists dealing with Excel basics, pivot tables, finance and statistical functions, and much more.

### Leadership Resources

25 free [online leadership](http://people-equation.com/25-free-leadership-resources/) resources can be found at:

### [ITunes](http://www.apple.com/education/itunes-u/) University

A powerful distribution system for everything from lectures to language lessons, films to labs, audiobooks to tours — this is an innovative way to get educational content into the hands of people. More than 350,000 free lectures, videos, films, and other resources — from all over the world.

### Open Courseware Consortium

**The** [Open CourseWare Consortium](http://www.ocwconsortium.org/) **is a collaboration of higher education institutions and associated organizations from around the world creating a broad and deep body of open educational content using a shared model. You can search for courses based on keywords, language, and source, or visit university homepages to find more courses.**

### TED

[TED](http://www.TED.com/talks) **is a clearinghouse that offers free knowledge and inspiration from the world's most inspired thinkers. The site houses free lectures by scientists, physicians, philosophers, professors and more. Topics include: Science, Technology, Business, Design and Global Issues.**

## LANGUAGE DEVELOPMENT

### American Sign Language Online

[ASL University](http://www.lifeprint.com/index.htm) is an online American Sign Language curriculum resource center. ASLU provides free self-study materials, lessons, and information.

### Free Language Lessons

[Learning a language](http://www.openculture.com/freelanguagelessons) can sharpen your mind and broaden your horizons. This page has sites that will help you get started learning any of 40 different languages.

## FREE BOOKS

### Books 24x7

Thousands of Free online books, concise summaries of today's foremost business books, live and on demand videos of preeminent thought leaders and business gurus, best practices from leading senior executives of Fortune 5000 companies. Available in the HHS [LMS](https://lms.learning.hhs.gov/Saba/Web/Main):

### Learn Out Loud

[Learn Out Loud](http://www.learnoutloud.com/Free-Audio-Video) offers a selection of free audio books, lectures, speeches, and interviews on many different subjects.

### PubMed

PubMed comprises more than 21 million citations for biomedical literature from MEDLINE, life science journals, and online books. Citations may include links to full-text content from PubMed Central and publisher web sites.

### The National Library of Medicine

Bookshelf provides free access to over 700 texts in life science and healthcare. A vital node in the data-rich resource network at [NCBI](http://www.ncbi.nlm.nih.gov/books/), Bookshelf enables users to easily browse, retrieve, and read content, and spurs discovery of related information.

### Your Public Library

## FREE CONFERENCES AND SEMINARS

### DDM Seminar Series

The [DDM Seminar Series](http://www.ddmseries.od.nih.gov/) offers the NIH community engaging presentations that provide meaningful insights into leadership and management concepts, challenges, and solutions. The seminars provide NIH employees the opportunity to advance their knowledge of best practices in a variety of leadership and management issues.

### Management Seminar Series

The Management Seminar Series ([MSS](http://trainingcenter.nih.gov/management_seminar_series.html)) provides an opportunity for administrative and scientific staff to obtain or further strengthen management skills through discussions and presentations addressing core management issues and NIH-related matters.

*Sources for the Introduction and GS-13 Proficiency levels:*

NIH, [OPM](http://www.opm.gov/classapp/fedclass/gshbkocc.pdf), OHR PD Library